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SUBMIT DIRECTLY TO THE OFFICE OF PUBLIC RECORDS IN 232 HART BUILDING

Description/Title of Attached Forms: pre and post travel forms.

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(Signature of Traveler)

[illegible]

Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp:

Post-Travel Filing Instructions: Complete this form within 30 days of returning from travel. Submit all forms to the **Office of Public Records in 232 Hart Building.**

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☒ The original *Employee Pre-Travel Authorization* (Form RE-1), **AND**
- ☒ A copy of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): The Aspen Institute Inc. (Socrates Program) ("AISP")

Travel date(s): January 17-19, 2020

Name of accompanying family member (if any): _____

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING **DID NOT INCREASE** DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input checked="" type="checkbox"/> Good Faith Estimate <input type="checkbox"/> Actual Amount	\$98.00	\$238.00	\$122.00	\$110.00

Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate <input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.): Participated in a Socrates Seminar to discuss leadership, responsible governance, and the role of Congress.

3/9/20
(Date)

Anna Shepard
(Printed name of traveler)

[Signature]
(Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

3/9/20
(Date)

[Signature]
(Signature of Supervising Senator/Officer)



Emerging Governance Leaders Seminar

Leadership & the Role of Congress

All sessions will be moderated by Colleen Shogan, Ph.D.

Seminar Weekend Schedule

January 17-19, 2020

Hyatt Regency Chesapeake Bay Resort
Cambridge, MD

Friday, January 17th

5:00 p.m.	Shuttle departure from Capitol Hill
6:45 p.m.	Shuttles arrives at Hyatt Chesapeake Bay
7:00 p.m. - 8:00 p.m.	Seminar Check-In & Registration
8:00 p.m. – 9:30 p.m.	Socrates Opening Dinner and Program Conversation will consider the governance challenges of Congress, exploring what resources and knowledge inform Congress and how technology and changing norms of representation are affecting governance.

Saturday, January 17th

7:45 a.m. – 9:00 a.m.	Breakfast
9:00 a.m. – 12:00 p.m.	Seminar Session I: The Evolution of Congress: How Did We Get Here? Seminar discussion based on the following texts and videos: <i>Origins:</i> <ul style="list-style-type: none">Hamilton/Madison, <i>Federalist</i> 57 and 63, selection Davidson, Oleszek, Lee, and Schickler, <i>Congress and Its Members</i>, "Institutional Evolution"

- ### *What Does It Mean to Represent? Mr. Smith versus Charlie Wilson*

- River House Main Conference Room*

Morning Break

- **Working Lunch with Discussion of Seminar Session I**
Conversation will consider the evolution of Congress and what it means to represent.

Seminar Session II: Congress and Its Governance Challenges

Seminar discussion based on the following texts:

- Davidson Oleszek, Lee, and Schickler. "Congress as Institution" in *Congress and Its Members*, 16th edition, pp. 468-479
- Barbara Sinclair, *Unorthodox Lawmaking*, 5th edition, "Assessing Unorthodox Lawmaking," pp. 271-274

Resources and Knowledge in Congress

- Kevin Kosar and various authors. "Restoring Congress as the First Branch." R Street Policy Study #50. Pp. 1-12
- Matthew Glassman, "Why Congress Doesn't Always Do The Right Thing." New York Times. February 7, 2018

Technology and Changing Norms of Representation

- Samantha McDonald, "Staff Perspectives on the State of Constituent Correspondence in the U.S. Congress," Leg Branch Blog
- Lorelei Kelley and Robert Bjarnason, "Our Modern Congress Doesn't Understand 21st Century Technology," TechCrunch

Is Congress a Dysfunctional Place to Work?



- Paul Hanges, Frances Lee, Kristina Miller, Jennifer Wessel,
"Report on the Organizational Climate of Congress."

University of Maryland, October, 2019 pp. 9-20 and 46-56

Partisanship and Policymaking

2:30 p.m. – 2:45 p.m.

Afternoon Break

4:00 p.m. - 5:30 p.m.

Networking Period

5:30 p.m. – 6:30 p.m.

Break and dinner preparation

7:00 p.m. – 8:30 p.m.

Working Dinner with Discussion of Seminar Session II

Responsible Governance and Your Role in Congress"

A conversation addressing norms of governance, hyper-partisanship, political polarization, and the experiences of Congressional staffers.

Moderated by **Cordell Carter**, Socrates Program Director

8:45 p.m. – 10:00 p.m.

"Life & Lessons in Congress"

A conversation with **William Hoagland**, Bipartisan Policy Center Senior Vice President, this conversation will entail lessons learned from 33 years of federal government service including 25 years served on the hill. The conversation will include generalized advice for succeeding in careers in public service as well as a Q & A with program participants.

Moderated by **Cordell Carter**, Socrates Program

Director

Sunday, January 19th

7:45 a.m. – 9:00 a.m.

Breakfast

9:00 a.m. – 12:00 p.m.

Seminar Session III: Congressional Reform

Seminar discussion based on the following texts:

What's Working Well and What Isn't

- Colleen Shogan, "Defense Authorization: The Senate's Last Best Hope," in *Party and Procedure in the United States Congress*, edited by Jacob Straus, 2012 edition, pp. 195-216
- Josh Huder, "[Democrats Want to Modernize the House. Good Luck With That.](#)" Monkey Cage blog

Reform Proposals

- "Modernizing Congressional Capacity- A report of the APSA Presidential Task Force Subcommittee on Congressional Capacity" *American Political Science Association*
- Claire Abernathy, Kevin Esterling, and Marci Harris. "Report from the Subcommittee on Technology and Innovation," *American Political Science Association*, September 2019

River House Main Conference Room

10:30 a.m. – 10:45 a.m.

Morning Break

12:00 p.m.

Check-out

12:00 p.m. – 1:00 p.m.

Working Lunch with Discussion of Seminar Session III
 Conversation will consider the Articles 1 and 2 of the Constitution, and how foundations of the U.S. government inform and influence the role of Congress today.

1:00 p.m.

Shuttle departs for Capitol Hill

3:00 pm

Shuttle drops off participants

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PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

1. Sponsor(s) of the trip (please list all sponsors): The Aspen Institute Inc. (Socrates Program) ("AISP")
2. Description of the trip: The AISP is sponsoring a Socrates seminar to discuss leadership, responsible governance and the role of Congress.
3. Dates of travel: January 17-19, 2020
4. Place of travel: Cambridge, MD
5. Name and title of Senate invitees: See attached.
6. I *certify* that the trip fits one of the following categories:
 - ☒ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal **and** do not retain or employ registered lobbyists or agents of a foreign principal **and** no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.
 - =OR=**
 - ☐ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.

=AND=

☒ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
8. I *certify* that:
 - ☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.
 - =AND=**
 - ☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).

9. **USE ONLY IF YOU CHECKED QUESTION 6(B)**

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

OR

☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (*see questions 6 and 10*).

OR

☐ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. **USE ONLY IF YOU CHECKED QUESTION 9(B)**

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

The Aspen Institute Socrates Program is the sole sponsor of the seminar and organized and conducted the trip (including selected the participants, developed the agenda, planned the seminar and coordinated the travel). (See attached Appendix)

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

The Aspen Institute is an educational and policy studies non-partisan, non-profit organization whose mission is to foster leadership based on enduring values and provide a non-partisan forum for the exchange of ideas. (See attached Appendix)

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

The Aspen Institute has a nearly forty year history of conducting non-partisan educational congressional trips; the Socrates Program, specifically, also has conducted congressional trips.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

The Aspen Institute organizes numerous educational activities, including briefings, roundtables, forums and conferences for a diverse range of attendees including federal and state policymakers, business and organization leaders, members of the press and the general public. (See attached Appendix.)

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate <input type="checkbox"/> Actual Amounts	\$98.00 for bus	\$238.00 for two nights (\$119.00 per night)	\$122.00	\$110.00 for conference room fees (includes meeting facilities, set up, take down, cleaning)

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

B) The trip involves an event that is organized specifically with regard to congressional participation.

18. Reason for selecting the location of the event or trip

The conference center is close to Washington, DC, which provides for ease of travel for participants and moderator(s).

19. Name and location of hotel or other lodging facility:

Hyatt Regency Marina and Resort

100 Heron Blvd, Cambridge MD

20. Reason(s) for selecting hotel or other lodging facility:

The conference center has sufficient meeting space and lodging to support off-the-record, non-partisan exchanges of ideas and professional learning.

Appendix to Private Sponsor Travel Certification Form, Aspen Institute
Socrates Program for the Emerging Governance Leaders Seminar, August 16-18,
2019

Question 5. Name and titles of Senate Invitees:

Sol Ortega

Deputy Director of Engagement
Office of Senator Charles Schumer

Jasmen Palomares

Legislative Aide
Office of Senator Kirsten Gillibrand

Jenna Valle-Riestra

Digital Assistant
Office of Senator Bob Casey

Steph Niaupari

Pepsi Co. Foundation National Graduate Fellow
Senate Robert Menendez

Andre J. Barnett

Tax Counsel
United States Senate Committee on Finance

Anna Shepard

Legislative Correspondent
Senator Diane Feinstein

Anthony Reyes

Staff Assistant
Office of Senator Chris Murphy

Question 12. Briefly describe the role of each sponsor in organizing and conducting the trip (response continued) – The Aspen Institute Socrates Program received general, unrestricted funding from the Democracy Fund to support the Socrates Program. The funding was not earmarked for this trip. Democracy Fund did not play a role in organizing or planning the conference, including, but not limited to the content, agenda, moderators, attendees or other logistics.

Questions 13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to the mission (response continued) –The Socrates Program seeks to provide a forum for emerging leaders from various professions to convene and explore contemporary issues through expert-moderated dialogue. The

